



United States Environmental Protection Agency  
Washington, DC 20460

## Work Assignment

Work Assignment Number  
WA-1-11

☒ Original ☐ Amendment Number:

Contract Number  
EP-W-11-044

Contract Period  
Base Option Period Number 1

Title of Work Assignment  
Software Requirements Analysis for  
Development of NPDES/CAA Field  
Inspection Software

Contractor  
EASTERN RESEARCH GROUP, INC.

Specify Section and Paragraph of Contract SOW  
See attached SOW

Purpose: ☒ Work Assignment Initiation ☐ Work Assignment Close-Out  
☐ Work Assignment Amendment ☐ Incremental Funding  
☐ Work Plan Approval

Periods of Performance

From: 08/16/13

To: 06/05/15

Comments:

The purpose of this WA is to provide support in developing the requirements for NPDES and CAA field inspection software. Please see the attached SOW.

☐ Superfund

### Accounting and Appropriations Data

☒ Non-Superfund

Line	DC (Max 6)	Budget/FYs (Max 4)	Appropriation Code (Max 6)	Budget Org/Code (Max 7)	Program Element (Max 9)	Object Class	Amount	(Dollars)	(Cents)	Site/Project (Max 8)	Cost Org/Code (Max 7)
1											
2											
3											
4											
5											

### Authorized Work Assignment Ceiling

Contract Period: Cost/Fee LOE  
Previously Approved

This Action

Total

### Work Plan / Cost Estimate Approvals

Contractor WP Dated : Cost/Fee: LOE:

Cumulative Approved: Cost/Fee: LOE:

Work Assignment Manager Name

BRIAN KRAUSZ

(Signature)

(Date)

Branch/Mail Code 2227A

Phone Number 202-564-3069

Fax Number 202-564-0038

Project Officer Name

WILLIE GRIFFIN

(Signature)

(Date)

Branch/Mail Code 2221A

Phone Number 202-564-2077

Fax Number 202-564-0027

Other Agency Official Name

(Signature)

(Date)

Branch/Mail Code

Phone Number

Fax Number

Contracting Official Name

MICHAEL GILHAM

(Signature)

(Date)

Branch/Mail Code 3803R

Phone Number 202-564-6090

Fax Number 202-565-2554

Contractor Acknowledgement of Receipt and Approval of Workplan (Signature and Title)

Date

# Software Requirements Analysis for Development of NPDES/CAA Field Inspection Software

Contract: EP-W-11-044, Work Assignment: WA-1-11

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## Summary Information

Title: Software Requirements Analysis for Development of NPDES/CAA Field Inspection Software

Period of Performance: From: 08/16/13  
To: 06/05/15

## Procurement Management Roles

### WORK ASSIGNMENT MANAGER:

U.S. E.P.A.  
Attn: BRIAN KRAUSZ  
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### ALTERNATE WORK ASSIGNMENT MANAGER:

U.S. E.P.A.  
Attn: PATRICK YELLIN  
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Fax Number: 202-564-0050  
E-Mail Address: yellin.patrick@epa.gov

## Attachments

Attachment Name

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Software Requirements Analysis for NPDES/CAA - Field Inspection Software Development SOW

**STATEMENT OF WORK**  
**EP-W-11-044**  
**WA-1-11**

1. **TITLE: Software Requirements Analysis for NPDES/CAA -- Field Inspection Software Development**
2. **PERIOD OF PERFORMANCE: Date of Issuance through June 5, 2015**
3. **EPA Work Assignment Manager (WAM)**  
**Name: Brian Krausz**  
**Address: 1200 Pennsylvania Ave., NW**  
**Washington, DC 20460**  
**Mail Code: 2227-A**  
**Telephone No.: 202-564-3069**  
**Fax No.: 202-564-0050**

**EPA Alternate Work Assignment Manager (AWAM)**  
**Name: Patrick Yellin**  
**Address: 1200 Pennsylvania Ave., NW**  
**Washington, DC 20460**  
**Mail Code: 2227-A**  
**Telephone No.: 202-564-2970**  
**Fax No.: 202-564-0050**

4. **BACKGROUND:**

Due to an increase in regulatory requirements for which EPA must evaluate compliance, EPA is faced with an enormous volume of data stored in multiple legacy systems. Additional challenges include antiquated paper documentation, reporting inefficiencies, a lack of management tools, and missed enforcement and public awareness opportunities. Through the National Inspection and Evidence System (NIES) Pilot, EPA will use an enterprise architected approach to support and manage all aspects of the compliance monitoring program (administration, management, inspection, reporting, and resolution of environmental concerns). This approach will give inspectors a powerful resource that they can use in the field to access key compliance information and it will allow them to report and seamlessly submit data to national data systems of record.

5. **PURPOSE AND OBJECTIVE:**

This work assignment (WA) will gather requisite information that is needed prior to developing and installing the software in mobile equipment. The **National Inspection and Evidence System (NIES)** will integrate field collection, evidence management, data management, and reporting tools to strengthen the Agency's compliance monitoring capability for the Resource Conservation and Recovery Act (RCRA) Subtitle C Program, Clean Air Act (CAA) stationary sources, and Clean Water Act National Pollutant Discharge Elimination System (NPDES). The system that is currently being piloted in EPA Region 4 features enterprise integration, workflow, notification and document management, GIS, reference library, and reporting. Based on this existing Region 4 RCRA pilot system, the objective of this WA is to create a Requirements Document establishing a framework to expand the RCRA system into the CAA and NPDES programs. This effort should also help minimize risk, cost, and time associated with the development of a full federal inspection system. It is expected that, after the NIES RCRA pilot is



concluded, CAA and NPDES software will be updated based on feedback from the pilot and be made available to the EPA regions. This WA will focus specifically on requirements analysis for NPDES and CAA.

## **6. SCOPE OF WORK:**

### **Identify NPDES and CAA Field Inspection Software Development Requirements (for operation on tablet or ruggedized laptop) Patterned After Region 4 RCRA Pilot Software**

#### **Task 1 – Develop Work Plan**

Within 25 calendar days of receipt of this WA, the Contractor shall deliver a management work plan, including a proposed level of effort, budget, and schedules of all tasks. The output of this task is the work plan. The work plan shall include at least the following: a list of tasks and description of the methods for performing each task; schedule; estimated direct labor hours by task and labor level; budget with costs broken down by line item; and names, hours, and project roles of level 2, 3, and 4 staff, and a quality assurance project plan (QAPP). The QAPP shall be employed to ensure decisions are based on data of known and documented quality. The plan shall also address internal quality control procedures to ensure work assignment deliverables (agendas, reports, etc.) address the needs set forth in the WA and are concisely written and accurate.

#### **Task 2 – NIES Pilot Integrated Project Team (IPT) Workgroup Logistical Support**

- a. **Conduct Information gathering sessions.** The Contractor shall conduct at least three (3) information gathering sessions for both NPDES and CAA of no more than two hours each with the NIES IPT Workgroups identified for each program. The Office of Compliance (OC) will identify workgroup members for each program from headquarters and regional office staff. These sessions shall be held at the convenience of the Government. The Contractor shall enlist the workgroups to complete the sessions by a specified date, as provided by the WAM. Before the initial session for each program is conducted, the Contractor shall review the RCRA NIES Requirements Document and consider which, if any, requirements may overlap or be appropriate for the NPDES and CAA Requirements Document. The initial session shall give EPA staff and the Contractor the opportunity to discuss the RCRA NIES Requirements document and identify elements that can be leveraged for NPDES and CAA program requirements. The second session shall give EPA staff the opportunity to identify and consider NPDES and CAA specific requirements/priorities and also give the Contractor the opportunity to question the Workgroup regarding specific requirements. The final session shall be used to finalize the project's scope and task prioritization, and to respond to feedback from EPA staff on a draft Requirements Document.
- b. **Workgroup Session Agendas, Minutes, and Documentation.** The Contractor shall:
  1. Provide Workgroup meeting agendas to the WAM two (2) business days prior to the scheduled meeting;
  2. Be responsible for collecting and documenting accurate meeting minutes for the WAM;
  3. Provide the WAM with a narrative summation of each Workgroup meeting identifying Workgroup activities, agreements, and lists of member "To-Do's" within two (2) business days following the scheduled meeting;
  4. Enlist the Workgroup to prioritize project objectives;
  5. Enlist the Workgroup to reconsider requirements previously collected in the requirements document.
  6. Develop a project schedule of activities;

7. Devise milestone charts;
8. Provide other meeting-related work products as requested.

### **Task 3. Prioritized Functional Requirements Document (Draft & Final)**

Within fourteen (14) business days of the second Workgroup meeting, the Contractor shall provide to the WAM a draft prioritized version of the individual NPDES and CAA NIES Requirements document as developed by the NIES IPT Workgroups. The Workgroups shall have fourteen (14) business days to review the document. Upon receipt of EPA changes, the Contractor has five (5) business days to produce the final prioritized versions of the NPDES and CAA NIES Functional Requirements Documents.

The Contractor shall prioritize the list of requirements for the WAM by the following categories:

- ☐ Facility Data
- ☐ Activities
- ☐ Violations
- ☐ Permits
- ☐ Links
- ☐ Comments
- ☐ Attachments
- ☐ Compliance
- ☐ Enforcement
- ☐ Legacy
- ☐ Areas
- ☐ Document Management

### **Task 4. Prioritized Requirements Analysis Presentation**

The Contractor shall coordinate with the WAM to schedule a presentation of the prioritized functional requirements analysis with representatives of the NIES Workgroups. The Contractor shall provide to the WAM appropriate and specific presentation tools (i.e. Microsoft Power Point, Microsoft Project, Microsoft Visio, and other assorted reports). The WAM will give the presentation; however the Contractor shall provide support by capturing meeting notes, comments, and assisting in responding to questions.

## **7. DELIVERABLES REQUIRED AND SCHEDULE FOR COMPLETION OF TASKS**

Task	Item Required	Due Date	Number of Copies and Format Requirements
1.	<b>Project Management Plan</b>	25 days after receipt of this work assignment	Microsoft Word
2.	<b>NIES Pilot Integrated Project Team (IPT) Workgroup Logistical Support</b>		



a.	Information Gathering Sessions (3+ CAA, 3+ NPDES)	Begin conducting information sessions within 14 business days after the project plan and cost estimate are approved, or at the technical direction of the WAM. Complete information gathering sessions no later than 45 business days from the beginning of the first information gathering session, unless directed by the WAM.	n/a
b.	Workgroup Session Agendas, Minutes, and Documentation 1. Meeting Agenda 2. Provide Minutes of each Workgroup meeting.	1. Two (2) business days prior to the meeting. 2. Two (2) business days following the meeting including other meeting-related work products as requested	Microsoft Word
3.	<b>Prioritized Functional Requirements Document</b> 1. Draft  2. Final	1. Within fourteen (14) business days of second workgroup meeting - - provide the draft prioritized version of the individual NPDES and CAA NIES Requirement document. 2. After Workgroup review of fourteen (14) business days the Contractor has five (5) business days to produce the final prioritization versions.	Microsoft Word
4.	<b>Prioritized Requirements Analysis Presentation</b>	Within fourteen (14) business days the Contractor shall coordinate with the WAM to schedule a presentation of the prioritized functional requirements.	PowerPoint

The Contractor shall notify the Contracting Officer (CO), Project Officer (PO), and EPA WAM in writing when 75% of the authorized work assignment LOE/labor hours have been expended.

8. **CONTRACT SOW REFERENCE:** Task Area I: 1.3.h, 5, 7; Task Area II: 1, 2; Task Area IV, 1

9. **ANTICIPATED TRAVEL REQUIREMENTS:** No Travel is anticipated at this time. Any travel must be preapproved by the WAM.

**10. ADDITIONAL REQUIREMENTS:**

Other direct costs (ODCs) for copying, postage/courier, supplies, computer usage, and graphics are allowed. No other ODCs are allowable as a direct charge to this WA without the prior written approval of the Contracting Officer.

Upon issuance of written technical direction, the Contractor shall submit for inspection all work in progress at any time under this WA. The Contractor shall develop and maintain files supporting each task.

The contractor shall contact the CO and/or the PO by telephone to discuss any problems that may adversely affect the work on this WA. Within five (5) calendar days the Contractor shall follow the phone call with a brief written explanation of the problem, including any actions already taken, and/or recommended solutions to correct the problem. Written explanation shall be made available to the CO and the PO.

## **11. CONTRACTOR IDENTIFICATION**

To avoid any perception that contractor personnel are EPA employees, the Contractor shall assure that contractor personnel are clearly identified as independent contractors of EPA when attending meetings with outside parties or visiting field sites.

## **12. CONTROL REQUIREMENTS**

### **1. Quality Assurance Project Plan (QAPP)**

The QAPP describes how the Office of Enforcement and Compliance Assurance (OECA) will comply with EPA's quality system requirements set forth in EPA Quality Manual for Environmental Program CIO-2105-P-01-0, May 5, 2000; and EPA Requirements for Quality Assurance Project Plans (QA/R-5) <http://epa.gov/quality/qs-docs/r5-final.pdf>. The purpose of the QAPP is to provide a blueprint for planning, implementing, and assessing the quality system for the programs administered by the Office of Compliance.

It is the policy of OECA that QA activities shall be conducted to assure environmental data generated, processed or used for its program requirements will be of known quality, and will achieve prescribed data quality objectives. Furthermore, the data will be adequate and sufficient for their intended use.

For this WA, the Contractor shall prepare a QAAP that includes, at minimum, the following:

#### **Task 1. Develop Work Plan**

- The QAAP, which is a deliverable for this task, shall address internal quality control procedures to ensure work assignment deliverables (agendas, reports, etc.) address the needs set forth in the work assignment and are concisely written and accurate.

#### **Task 2. NIES Pilot Integrated Project Team (IPT) Workgroup Logistical Support**

- All work products, including meeting-related products such as agendas and To-Do lists, shall be delivered in a commonly used format accessible to EPA staff, such as Microsoft Word 2007 and Adobe Reader X.

#### **Task 3. Prioritized Functional Requirements Document**

- A description of how the Prioritized Functional Requirements Document will be assembled and reviewed to ensure that all applicable regulations and permits are completely and accurately incorporated.

#### **Task 4. Prioritized Requirements Analysis Presentation**

- The Contractor shall provide to the WAM appropriate and specific presentation tools (i.e. Microsoft Power Point, Microsoft Project, Microsoft Visio, and other assorted reports) that are accessible to EPA staff.

### **2A. Organizational Conflict of Interest:**



The Contractor shall warrant that, to the best of the Contractor's knowledge and belief, there are no relevant facts or circumstances which could give rise to an organizational conflict of interest, as defined in FAR Subpart 9.5, or that the Contractor has disclosed all such relevant information. See contract clause H.3 Organizational Conflict of Interest.

2B. Notification of Conflicts of Interest Regarding Personnel:

The Contractor shall immediately notify the PO and the CO of (1) any actual or potential personal conflict of interest with regard to any of its employees working on or having access to information regarding this contract; or (2) any such conflicts concerning subcontractor employees or consultants working on, or having access to information regarding, the contract when such conflicts have been reported to the Contractor. A personal conflict of interest is defined as a relationship of an employee, subcontractor employee, or consultant with an entity that may impair the objectivity of the employee, subcontractor employee, or consultant in performing the contract work. See contract clause H.4.

3. Enforcement Sensitive Information:

The Contractor recognizes that, in performing tasks specified by this WA, contractor employees may have access to data/information, either provided by the government or first generated during contract performance, of enforcement sensitive nature which shall not be released to the public without Environmental Protection Agency approval. Enforcement sensitive refers to records or information compiled for law enforcement purposes (whether administrative, civil or criminal), the disclosure of which could reasonably be expected to interfere with the enforcement action. It is imperative that all contractor personnel including, but not limited to, subcontractor and consultant personnel assigned to work on this WA - or with access to materials developed pursuant to such efforts - understand that this information is confidential and any disclosure or misuse of the information may result in prosecution to the fullest extent of the law. All contractor personnel are expected to exercise due diligence in safeguarding, handling, and disposing of any such information.

4. Handling of Confidential Business Information (CBI)

To the extent that the work under this contract requires access to proprietary or confidential business or financial data of other companies, and as long as such data remains proprietary or confidential, the Contractor shall protect such data from unauthorized use and disclosure.

All files or other information identified as Confidential Business Information (CBI) shall be treated as confidential and kept in a secure area with access limited to only contractor personnel directly involved in the case or special project assignment. The Contractor, subcontractor, and consultant personnel are bound by the requirements and sanctions contained in their contracts with the EPA and in the Agency's confidentiality regulations found at 40 CFR Part 2, Subpart B. The Contractor subcontractors, and consultants must adhere to EPA-approved security plans which describe procedures to protect CBI, and are required to sign non-disclosure agreements before gaining access to CBI.

All official data, findings, and results of investigations and studies completed by the contractor shall be available for EPA and Department of Justice internal use only. The contractor shall not release any part of such data without the written direction of the WAM.